

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mueller, et al. Examiner: Unknown  
Serial No: 10/019,805 Art Unit: Unknown  
For: NEAR-FIELD OPTICAL EXAMINATION DEVICE  
Filed: 21 December 2001 Date: 03 April 2002

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

## INFORMATION DISCLOSURE STATEMENT

Under 37 CFR 1.97

This Information Disclosure Statement is filed with the missing parts in the national stage entry of a PCT application, so it is timely filed without payment of a fee. 37 CFR §1.97(b).

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR §1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13, at 25.

This Information Disclosure Statement is made to comply with the duty of candor imposed on all individuals associated with the filing or prosecution of this application, as defined by 37 CFR §1.56(c).

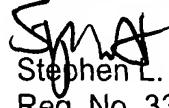
Nineteen (19) U.S. patents, twelve (12) foreign patent documents and one (1)

non-patent reference are listed on the attached two (2) sheets of Form PTO/SB/08A and one (1) sheet of Form PTO/SB/08B which are made a part hereof. A copy of each is enclosed. Also enclosed in the filing papers, but not listed on the form, is a copy of an International Preliminary Search Report from the European Patent Office on PCT application PCT/EP00/06088, from which this US application is a national stage entry.

Reference BI has an English language equivalent provided in Reference AS. Reference BA is in German, but has an English language abstract.

The foregoing Information Disclosure Statement is based upon the information known to the inventor or contained in the undersigned attorney's file as of the filing date of this statement and is inclusive of the best information known to each of the undersigned at that date. Prompt consideration of the Information Disclosure Statement and the references by the Examiner is earnestly requested.

Respectfully submitted,

  
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Atty. Docket: 7040-52

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

## Complete if Known

Application Number	10/019,805
Filing Date	12/21/2001
First Named Inventor	Dr. Juergen Helfman
Art Unit	
Examiner Name	

Attorney Docket Number 7040-52

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	US- 4041146	08/09/1977	Giaevers	
	AB	US- 5105305	04/14/1992	Betzig	
	AC	US- 5286970	02/15/1994	Betzig	
	AD	US- 5289004	02/22/1994	Okada	
	AE	US- 5304795	04/19/1994	Fujihira	
	AF	US- 5354985	10/11/1994	Quate	
	AG	US- 5362963	11/08/1994	Kopelman	
	AH	US- 5546223	08/13/1996	Lewis	
	AI	US- 5548113	08/20/1996	Goldberg	
	AJ	US- 5633972	05/27/1997	Walt	
	AK	US- 5641896	06/24/1997	Karrai	
	AL	US- 5675433	10/07/1997	Lewis	
	AM	US- 5770855	06/23/1998	Fischer	
	AN	US- 5770856	06/23/1998	Fillard	
	AO	US- 5770955	06/23/1998	Reynolds	
	AP	US- 5789742	08/04/1998	Wolff	
	AQ	US- 5666197	09/09/1997	Guerra	
	AR	US- 5821409	10/13/1998	Honma	
	AS	US- 5838000	11/17/1998	Mertesdorf	
		US-			

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
	BA	WO	97/25644	07/17/1997	Mueller		
	BB	EP	0 112 401	A1	Pohl		
	BC	EP	0 726 480	A2	Heckl		
	BD	DE	41 06 548	A1	09/03/1992 Fischer		
	BE	DE	195 04 662	A1	08/14/1996 Heckl		
	BF	DE	195 31 465	A1	10/02/1996 Weihnacht		
	BG	DE	195 31 802	A1	06/06/1997 Guttroff		
	BH	DE	196 01 109	A1	07/17/1997 Mueller		
	BI	DE	196 31/498	A1	02/05/1998 Mertesdorf		
	BJ	DE	197 14 346	A1	10/01/1998 Lienau		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year or the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				Application Number	10/019,805
				Filing Date	12/21/2001
				First Named Inventor	Dr. Juergen Helfman
				Art Unit	
				Examiner Name	
Sheet	2	of	2	Attorney Docket Number	7040-52

Examiner Signature		Date Considered	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 1 of 1

***Complete if Known***

Application Number 10/019 805

Filing Date 12/21/2001

First Named Inventor Dr. Juergen Helfman

### Group Art Unit

Examiner Name

Attorney Docket Number 7040-52

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	POHL, "Scanning Near-field Optical Microscopy," Advances in Optical and Electron Microscopy, Academic Press Limited (London, GB), p. 243-312, ( March 25, 1991).	

Examiner Signature		Date Considered	
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